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ABSTRACT

Perspectives on institutional fund raising or resource development are offered by a graduate dean. The focus is funding provided by individuals, foundations, and corporations. It is suggested that this effort must be a total institutional effort organized by professionals and best conducted by an a mixture of resource development professional, plus those who will either lead, or benefit by, the specific activity for which support is sought. Controlling fund raising efforts from a central point prevents duplication of effort, insures that the institution establishes its own priorities and has only one proposal before each patron at any one time. After establishing priorities for graduate study, scholarship, and research, these priorities are translated into units of activity that may be funded or marketed by the fund raisers. Another important function is to demonstrate the relationship of what is done in scholarship and research to teaching. Lastly, a responsibility exists to report the importance and the impact of the activity on the institution to the donor. (SW)

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A Graduate Dean Looks at Fund Raising*

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Most deans who also bear some responsibility for research and sponsored programs have been heard to use the phrase, "the institution is unable to support all your needs as a scholar, you'll have to write a proposal to an outside patron..." and thus it has been since the first Ri's of Ireland kept a scholar or two, if not a court jester, around the palace. (At Notre Dame, everything is measured in terms of the sainted people -- the Irish.)

No institution today, public or private, is able to support active programs of scholarship, teaching, research, and service based solely on a cash flow from taxes, or from endowment and student tuition and fees. Institutional fund raising is an absolute necessity.

Let me pause a moment to establish what I mean by the term institutional fund raising.

Securing outside funds for the institution embraces a continuum of activity between two distinctive points. One could call it The Continuum of Resource Development. On the one hand, the activities are centered in the Office of Research and Sponsored Programs. Here the activity is usually based on well developed proposals that may lead to awards of either a grant or a contract. The work supported usually responds to an individual or small

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group priority. The proposals are directed mainly toward governmental sources, and less intensively, but increasingly these days, toward foundations and corporations. The proposal activity emanating from the faculty always envisions commitment of some existing resources.

At the other end of the Resource Development Continuum are the activities that we discuss today. They may be carried out by an office -- the Institutional Development Office or a semi-autonomous foundation organized to receive gifts or contributions from alumni/alumnae and friends of the institution. The activity may include proposals, but the funding sought is normally for institutional priorities as opposed to individual faculty projects. The appeals or proposals are generally directed toward private sector sources: individuals, foundations, corporations. The resource developers almost always envision an addition to existing resources and often are puzzled if one points out that some prospective activity involves specific commitment of existing resources, i.e. faculty time and effort; commitment of maintenance funds to sustain new facilities, etc. (The phrase, "O.. ..an gift himself poor," comes to mind .)

So what we talk about today is institutional fund raising or resource development, not research and sponsored program activity, although the two seem more and more to blend toward, if not into, each other.

I use the words institutional fund raising to underscore the fact that the activity is and must be a total institutional effort -- not that of each individual college, each individual school or each research institute. It is an activity organized by professionals and best conducted by an admixture of resource development professionals, plus those who will either lead, or benefit by, the specific activity for which support is sought.

The specific organization of fund raising varies from institution to institution and seems highly dependent on the nature and structure of the place

To participate successfully in this activity, a graduate dean needs to first learn how fund raising is organized in his or her institution and what ground rules are applicable.

At Notre Dame, fund raising is centralized but heavily dependent on those who will ultimately use the fruits of the effort in their work. This is simply a corollary of the old adage, don't separate the planning from the execution. It wasn't always that way. Historically, fund raisers thought only in terms of brick and mortar. It is only in the last twenty years or so that investment in people has come to be a keynote. If you invest in people, you invest in their activity and that opens large doors on what goes on inside the brick and mortar structure. Whereas in earlier years the activity might have been confined to the President's office, today's emphasis on people and what they do involves others throughout the institution. The Graduate Dean has an important role in explaining to potential patrons (and the institutional fund raisers) the relation of scholarship and research to teaching. I give a seminar to our fund raisers on this subject about once every two years.

Centralization of fund raising essentially means that someone controls the flow of proposals out of the institution. There is, in effect, a traffic controller who operates the green, yellow and red lights on each foundation, corporation, individual that has been identified as a potential patron of the institution. It is a grevious "No-No," deeply imbedded in the memory of man, for someone in administration or on the faculty of Notre Dame to approach a potential patron without first clearing it with the Office of University Relations, our development group. That basic ground rule is passed on to the new member of the community with the faculty ID card.

Controlling fund raising efforts from a central point prevents duplication of effort, insures that the institution establishes its own priorities and has only

one proposal before each patron at any one time. This keeps foundation and corporation personnel very happy. They really dislike calling to find out which of two proposals the University really wants.

That leads us to the matter of priorities: who determines them and what are they? In my university there is a major review involving the entire university once every decade. The results of this review are published. In the 1970's the review was called the COUP REPORT (Committee on University Priorities); in the 1980's a similar activity led to PACE (Priorities and Commitments for Excellence). In both reports, graduate studies and research are conspicuous elements. Also in both reports, the priorities for the total institution are spelled out. Further the vision of each element is clear and stated in simple language.

The translation of those priorities into units of activity that may be funded or marketed is a very important part of the major fund raising campaigns that followed each of the priority reports. We are currently in such a campaign with a goal of $300 M. Of some 35 line items comprising the total activity, 14 are directly related to graduate education and research. Each is stated clearly in simple language. These 14 items will be funded at $75.5 M or 25 percent of the total goal. All of this fund raising activity came about by first establishing a series of priorities for the Graduate School and research. In that process, senior faculty, the Graduate Council, the University Committee on Research and Sponsored Programs and other ad hoc groups and task forces had an input. It was my job as graduate dean to orchestrate that input.

The existence of an institutional approach to fund raising facilitates my work. Once having established priorities for graduate study, scholarship and research, it remained only to plug them into the institutional effort. As that effort proceeds, I am constantly seeking ways to translate the priorities into

units of activity that may be more easily funded or marketed by our fund raisers. A key to this is to be firm with respect to the major priority, but flexible as to the mechanism by which you reach your goal.

One major priority has to do with Faculty Development with respect to competitive grant proposals and outside funding. The specific goal is to provide each new faculty member, or an older one who wants to change areas of research, with seed money on a competitive basis in which the final report takes the form of an application to a potential patron. I have been quite successful in leveraging such seed funds over the past 15 years to a point at which we are currently obtaining $13 in awards for each seed dollar expended. Hence we wanted endowment funding for this activity. It could be totally centralized in my office, or it may occur through specific institutes created for the purpose in each of the colleges.

I reasoned that the more points of contact that I had spreading the germs of proposal writing and submission throughout the University, the better off we would be to achieve our goals of greater and more effective participation in scholarship and competitive research funding. Thus I welcomed the thought that we should break down a multimillion dollar endowment package into smaller units spread through the University. This was done and has been very effective. We continue to operate a central program, but there are additional discipline-specific institutes promoting sponsored program activity in several of the colleges.

Not all fund raising involves orchestrated campaigns. Much of it involves an element of opportunism: matching a donor's interest with an institutional priority. Each of our regionally based fund raisers needs what I call a "full bag of tricks" -- a series of marketable ideas that may be presented to a prospective patron as his, her or their interests unfold. Certainly a major role of a graduate dean is to identify the needs of students and faculty in

carrying out graduate programs and then translate those needs into saleable packages, elements of the "bag of tricks," whose funding will help move scholarship, graduate study and research forward in the institution.

Two other matters need mentioning. The importance of a well developed annual report to the donor cannot be overemphasized. I just obtained a second grant of $1,000,000 from a foundation to support a competitive program of seed grants, research travel and an information center, based almost totally on the quality of the annual report sent in on the achievements with the first one million. We never fail to inform a donor about the individual who currently occupies the named fellowship established by that donor, and the number of such fellows that have been supported to date.

Finally, the last significant fund that I had a direct hand in raising -- an endowed fellowship -- came this Fall solely because the donor heard me in a very informal setting wax a bit eloquent and enthusiastically about the importance of investing in young people. I didn't know that this man would sell his business and be in a position to put up hundreds of thousands to endow a fellowship, but I did know that fellowships were vital to the formation of a scholar, and I didn't mind saying so in non-academic company.

To sum up my remarks, fund raising is best performed as a team effort. Your initial contribution as a graduate dean is to establish priorities for your school and integrate them as institutional goals.

A second level of activity involves translation of those priorities into functional, saleable units.

A third important function is to demonstrate the relationship of what you do in scholarship and research -- so little understood by the general public -- to teaching, a thing they seem to know about.

Lastly, once funded you have a responsiblity to report the importance and the impact of the activity on the institution to the donor, with emphasis on scholarly achievement and people.

Thank you.